Washington State Home Care Workers

Retirement Benefit Alternatives - Change Request #2

Deliverable 2

Part 1 - Current Data Analysis and Defined Gaps

Prepared for

SEIU Healthcare 775 NW/LRO Committee

TREINEN Associates

June 24, 2008

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HC Workers Retirement Benefit Alternatives- Part 1 Data Analysis and Defined Gap

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Executive Summary

Project Background and Methodology

On behalf of the State of Washington (State) and the Service Employees International Union Healthcare 775 NW (SEIU), and as follow up to the Washington State Home Care Workers retirement benefits alternatives project, the HCQA (Home Care Quality Authority), requested Treinen Associates, Inc. (Treinen) to conduct an analysis of the current home care provider data availability and define the gap between the required data necessary to manage a retirement benefit. The following objectives were outlined:

1. Determine the data requirements for the proposed DC and DB plan options;
2. Determine the current data available from the State and SEIU sources for both individual providers (IP) and agency providers (AP); and
3. Determine the data gaps for both DC and DB options.

Treinen determined the necessary data fields and update frequency required to manage a retirement plan and requested a sample data file from the IP and AP populations. Treinen met with DSHS and SEIU to review the narrative responses and the available IP and AP data and attributes. The data fields required to manage a retirement plan available from both DSHS and SEIU, were similar in scope to the data previously obtained for the retirement plan options modeling analysis. Therefore, data file extracts were not needed. The findings were established, gap analysis prepared and documented.

Data Requirements for DB and DC Retirement Plans

The core data requirements for management of both DB and DC plans are the same. The key difference is the frequency of data update. Defined contribution plans typically collect and transmit data on a payroll frequency basis. Defined benefit plans typically update data

annually. The following are the data requirements for administration and management of a retirement plan:

Data Requirements for Administration and Management of a Retirement Plan	
1. Participant Identifier Number	2. Date of Hire
3. Employer	4. Date of Termination
5. Name	6. Service Hours
7. Gender	8. Earnings
9. Date of Birth	10. Historical Service Hours
11. Mailing Address	12. Historical Earnings
13. Billing Address	14. Initial Service Date or Past Service Field

For a retirement plan administration, not only are the above data elements needed for all IPs and APs, but is it critical to have common data formats, combine service-related data for one provider if work is provided as both an IP and AP or for more than one AP, and aggregate retirement data under a single provider identification code.

Findings: Current IP and AP Data Status

The general findings for the current retirement data requirements included determining the data bases that house the IP and AP data, the sources of each, the capabilities of each source, the current availability, frequency of system update and the validation that the data undergoes with storage. A summary of the findings can be found on page 13 of this report and a detailed depiction is located in Appendix B.

Analysis: Current IP and AP Data Gaps for Retirement Plan Management

The following is a summary of the data gap analysis:

- All of the current systems are able to update the data with the required frequency to manage a retirement plan;
- The gaps in the data necessary to manage and administrate a DC or DB retirement plan are significantly greater in the available IP data;
- There are challenges with variable data formats and multiple sources for several AP data fields that will require standardization for retirement plan management; and
- The most significant data definition issue resides with the earnings category.

The following is a short analysis summary of the required data elements availability and gap analysis across the IP and AP data.   The full analysis, data availability and gap analysis detail is in Appendix C.

DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis

Required Data Element	Data Gap
1. **Participant Identifier Number**	Gap - No common identifier across both IP and AP databases.
2. **Employer**	Gap - No employer code available across both IP and AP databases
3. **Name**	No gaps Issue: formats are variable across AP database.
4. **Gender**	Gap for IPs No gaps for APs
5. **Date of Birth**	Gap for IPs No gaps for APs
6. **Mailing Address**	No gaps for IPs or APs Issues: • Formatting; • Primary/secondary aggregation; and • Mailing priority conflict across IP and AP database
7. **Billing Address**	No gaps for IPs or APs Issues: • Formatting; • Primary/secondary aggregation; and • APs do not typically request or require.
8. **Date of Hire**	Date of hire data gap for IPs No gap for date of hire for APs
9. **Date of Termination**	Gap for IPs No gap for date of termination for APs
10. **Service Hours**	No data gap for IPs or APs Issues: • Formatting variance across IPs and APs; and • Multiple sources for APs
11. **Earnings**	No data gap for IPs or APs Issues: • Challenging data collection from IPs; • Definitions may vary across IPs and APs;

DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis	
Required Data Element	**Data Gap**
	• Formatting variance across IPs and APs; and • Multiple sources for APs
12. Historical Service Hours	No gaps for IPs and APs Issues • Formatting variance across IP and APs; and • Multiple sources for APs
13. Historical Earnings	No data gaps for IPs and APs Issues: • Multiple sources from IPs; and APs; • Multiple formats.
14. Initial Service Date or Past Service Field	Data gap for IPs No data gap for APs

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Project Background and Methodology

Introduction and Background

Article 23 of the current collective bargaining agreement between SEIU Healthcare 775 NW (SEIU) and the State of Washington (State) directed them to evaluate retirement options for covered home care workers, using consulting assistance to outline potential retirement plan designs.[1] The Home Care Quality Authority (HCQA) engaged Treinen Associates, Inc. (Treinen) to assist SEIU and the State to review retirement benefit alternatives and the possible opportunities. Treinen consulted with the State and SEIU over a period of 3 months, modeled defined contribution (DC) and defined benefit (DB) retirement options and delivered a detailed set of retirement alternatives in a final report on April 24, 2008.

The final report also included a preliminary set of administrative and operational issues that needed to be addressed in order to maintain both DC and DB plans. On behalf of the State and SEIU, HCQA requested Treinen to conduct a follow up data analysis of the current home care provider data availability and define the data gap for administering a DC and/or DB retirement plan. The following objectives were outlined:

4. Determine the data requirements for the proposed DC and DB plan options;
5. Determine the current data available from the State and SEIU sources for both individual providers (IP) and agency providers (AP); and
6. Determine the data gaps for both DC and DB options.

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[1] Article 23.1 and 23.2: The Union and the Employer agree that the Union Management Communications Committee shall explore possible options for establishing a sustainable retirement benefit for workers covered under this Agreement…. The Committee shall retain a consultant to prepare recommendations to be reported to the parties no later than January 31, 2008.

Methodology

Treinen worked with SEIU and the State to accomplish the following key steps, tasks and deliverables. Please refer to Appendix A for the complete work plan.

Key Steps, Tasks and Deliverables

1. **Project Planning**
   - Prepare draft work plan, finalize, peer and submit as Deliverable 1.
2. **Discovery**
   - Determine data fields and update frequency required for DC/DB retirement plan management; and
   - Review current DSHS, SEIU and AP data fields for availability, quality and update cycle.
3. **Analysis**
   - Prepare data dictionary for DC and DB plan;
   - Prepare data dictionary for total available data for both IP and AP; and
   - Determine data gaps for retirement plan management.
4. **Written Report**
   - Prepare draft written report, finalize, peer and submit as Deliverable 2.

Treinen determined the necessary data fields and update frequency required to manage a retirement plan. A data file layout was requested from DSHS and SEIU and narrative responses regarding each data category was received. Treinen met with DSHS and SEIU to review the available IP and AP data, understand the current functional definitions, determine the data quality and understand the current schedule of electronic submission for data update.

The data fields required to manage a retirement plan available from both DSHS and SEIU, were similar in scope to the data previously obtained for the retirement plan options modeling analysis. Therefore, data file extracts were not needed. Specific information regarding agency employer availability for data extraction was provided by SEIU.[2] The findings were established, gap analysis prepared and documented in the final deliverable. A final discussion and review of the deliverable was conducted with Committee members.

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[2] Individual extracts of AP data from SEIU and agency providers would have required extensive formatting and clean up that was beyond the scope or timeframe of this project.

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Data Requirements for DB and DC Retirement Plans

The core data requirements for management of both DB and DC plans are the same. The key difference is the frequency of data update. Defined contribution plans typically collect and transmit data on a payroll frequency basis. Defined benefit plans typically update data annually. Note that because data is only transmitted annually for a defined benefit plan, the source data must accumulate information such as hours of service and earnings. Accumulated data for a defined contribution plan could be accumulated by the third party administrator. Additionally, it is feasible to work with data that is of less than ideal quality for data that is collected only annually, whereas data that is transmitted every payroll period should be of very high quality with limited or no need to be edited and reviewed.

The following are the data requirements for administration and management of a retirement plan:

Home Care Workers-Necessary Data to Operate a Retirement Plan			
Data Element	**Description**	**Comments**	**Frequency**
Participant Identifier Number	Can be any number unique to the provider	Critical issue is that identifier must be common among all IP and AP databases and payroll systems; security risks if use Social Security number	Every download
Employer	IP or AP employer code	Necessary to determine where the service hours,	Every download

Home Care Workers-Necessary Data to Operate a Retirement Plan

Data Element	Description	Comments	Frequency
		earnings, etc are being incurred.	
Name	First name, middle initial, last name	Can include history field for changes in last name - not necessary, but helpful	On initial download and with provider-directed changes
Gender	Male/Female	Essential for defined benefit plan valuation.	Can be initial download updated as new employees are hired NOTE: Helpful to have NEW EMPLOYEE system field for presence validation.
Date of Birth	MMDDYYYY	Can be updated with every download or established as a one time data field updated only for error corrections	Can be initial download updated as new employees are hired
Mailing Address	Address where provider lives AND where payroll correspondence is delivered	Priority use if this is the sole provider address.	On initial download and with provider-directed changes
Billing Address	Address where provider payroll correspondence is delivered	Priority use if provider has both a mailing and billing address	On initial download and with provider-directed changes
Date of Hire	MMDDYYYY The initial date of agency or individual hire	Ideally would be collected as series of dates if terminate employment and then are reemployed	Need to update as new periods of service start, or with each download
Date of Termination	MMDDYYYY	Necessary to identify timing and eligibility for	Update every download

Home Care Workers-Necessary Data to Operate a Retirement Plan

Data Element	Description	Comments	Frequency
		distributions; Ideally would be collected as series of dates if terminate employment and then are reemployed	
Service Hours	Defined as amount per pay period or history during a period amount (e.g., year to date service hours)	This data element should be collected as paid hours, vacation hours, and client participation hours (if counted by retirement plan)	Update every download
Earnings	Defined as amount per pay period or history during a period amount (e.g., year to date earnings)	May not be required if benefits are defined exclusively per service hour.	Update every download
Historical Service Hours		May be maintained by pension administration system instead of source data systems	Can be initial download plus as new employees are hired
Historical Earnings		May be maintained by pension administration system instead of source data systems	Can be initial download plus as new employees are hired
Initial Service Date or Past Service Field	MMDDYYYY for first service date		Can be initial download updated as new employees are hired

For a retirement plan administration, not only are the above data elements needed for all IPs and APs, but is it critical to have common data formats, combine service-related data for one provider if work is provided as both an IP and AP or for more than one AP, and aggregate retirement data under a single provider identification code. As noted above, some of this common data may be maintained by the retirement administrator or third party pension administrator. We will discuss this further in Part 2 - Governance and Administration Options.

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Findings: Current IP and AP Data Status

The necessary retirement plan data requirements, availability and quality and system update ability or frequency for current IP and AP data was assessed via the following methods with DSHS and SEIU:

- Requested and received narrative data field responses;
- Validation meetings; and
- Review of data fields received for retirement options modeling that were also common with retirement plan management and administration:
  - participant ID number,
  - name;
  - gender;
  - date of birth; and
  - earnings.

The following are general findings for DSHS and SEIU regarding the necessary retirement management data. A summary of findings for each data field for both DSHS and SEIU is also noted. A full review of each data field can be found in Appendix B.

General Findings – Retirement Data Requirements

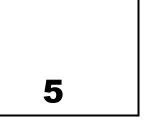| Home Care Workers Retirement Data Requirements – General Status	
DSHS	**SEIU**

• The referenced retirement data resides in SSPS, SQL database and data repository.	• Receives data from agency employers:
	  - AAA;
	  - Addus;
	  - Amicable;
	  - CCS;

Home Care Workers Retirement Data Requirements – General Status	
DSHS	**SEIU**
	- Chesterfield; - KWA; - ResCare; and - Unique.
• DSHS has the capability to validate shared data fields against ACES, Social Security and other state and federal databases.	• Also receive data from union members – hard copy.
	• The referenced retirement data is received from membership information and AP employer files.
	• SEIU receives data files from all eight AP employers monthly.
	• The referenced retirement data from the AP employers is stored in the database, UnionWare.

Summary Data Field Findings – Retirement Data Requirements

Home Care Workers Retirement Data Requirements	
Data Field	**Data Field Findings**
Participant Identifier Number	• Both DSHS and SEIU assign a provider number, but formatting is different; • The quality of the numbers in each are high; • DSHS updates regularly and checks with ancillary state databases for accuracy; and • SEIU aggregates demographic data to provider number monthly.
Name	• DSHS stores in one field and SEIU formats vary across agency employers; • The quality is high across both DSHS and SEIU agencies (that were examined); • DSHS updates regularly and checks with ancillary state databases for accuracy; and • SEIU updates from the agency employer file monthly.
Mailing Address	• Formats may differ across DSHS and SEIU databases; • DSHS - Mailing address is secondary for data aggregation and mailing if a billing address is provided; • SEIU – Mailing address is primary mailing address; • Formats differ across agency employers; and • SEIU updates addresses monthly.

Home Care Workers Retirement Data Requirements

Data Field	Data Field Findings
Billing Address	• Formats may differ across DSHS and SEIU databases; • DSHS - Billing address is primary for data aggregation and mailing; • SEIU – Agency formats are unknown and likely differ; mail is sent to this address only if instructed by AP; • SEIU updates addresses monthly.
Gender	• DSHS does not collect this field; • SEIU receives this information from the member; and • BSI collects in a single format for those who apply for and are eligible for health benefits.
Date of Birth	• DSHS does not collect this field; • SEIU receives this information from the member, with the exception of Chesterfield (sends monthly); and • BSI collects in a single format for those who apply for and are eligible for health benefits.
Date of Hire	• DSHS does not collect this field; • SEIU collects from the employer file monthly; and • Assume that formats may differ across the agencies.
Date of Termination	• DSHS does not collect this field; • SEIU collects from the employer file monthly; and • Assume that formats may differ across the agencies.
Service Hours	• DSHS collects this as "hours worked" and is updated daily; • DSHS data quality is good; • SEIU collects this from 5 of the employer agencies and the remaining 3 (CCS, ResCare and Unique) collect the data but do not submit to SEIU; and • Assume that the formats are different across the agencies.
Earnings	• DSHS collects and houses this data in SQL and updates it daily as taxed wage amount; • DSHS data quality is good; • SEIU collects this from 3 (AAA, Addus and Unique) of the employer agencies and the remaining 5 collect the data but do not submit to SEIU; and • Assume that the formats are different across the agencies.

Home Care Workers Retirement Data Requirements

Data Field	Data Field Findings
Historical Service Hours	- DSHS stores this data as an ongoing process for rate changes in the SQL and repository and updates it daily; - DSHS quality data is good; - SEIU collects this data from AAA, and the remaining agencies collect the data but do not submit to SEIU; and - Assume that the formats are different across the agencies.
Historical Earnings	- DSHS stores this data by the month in SQL, OAS and the mainframe and updates it daily; - DSHS quality data is good; - SEIU collects this data from AAA and Amicable and the remaining agencies collect the data but do not submit to SEIU; - Assume that the formats are different across the agencies.
Employer	- DSHS does not assign this field by employer, but by program; and - SEIU does not assign a code by employer.
Initial Service Date	- DSHS does not collect the full date upon which the first IP service commenced, only the month; and - SEIU assigns a seniority date for each AP for the original hire date- format unknown.

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Analysis: Current IP and AP Data Gaps for Retirement Plan Management

Summary

The previous findings indicate that all of the current systems are able to update the data and with the required frequency to manage a retirement plan. However, the gaps in the data necessary to manage and administrate a DC or DB retirement plan are significantly greater in the available IP data. There are also challenges with variable data formats and multiple sources for several AP data fields that will require standardization for retirement plan management.

The most significant data definition issue resides with the earnings category. We were not able to obtain definitions or data files from the AP employers for review. This is a key field (particularly if benefits and/or contributions are based on earnings) that will require more analysis to assure that the definition of the earnings field data that each agency employer collects is the same across all APs and is the same as that of the IPs.

The following is a short analysis summary of the required data elements availability and gap analysis across the IP and AP data.   The full analysis, data availability and gap analysis detail is in Appendix C.

DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis

1. **Participant Identifier Number**

   - Available, but common only to DSHS;
   - Available but common only to SEIU; and
   - Gap - No common identifier across both IP and AP databases.

- Will require development of a participant identifier number for all eligible retirement participants.

2. Employer

- DSHS - No code assigned to employer;
- SEIU - No code assigned to employer;
- Gap - No employer code available across IP and AP databases.

3. Name

- DSHS – Available;
- SEIU – Available with format variance by agency employer; and
- No gaps.
    - Issues: formats are variable across AP databases.

4. Gender

- DSHS - Not Available
- SEIU - Available
- Gap for IPs
- No gaps for APs

5. Date of Birth

- DSHS - Not Available
- SEIU - Available
- Gap for IPs
- No gaps for APs

6. Mailing Address

- DSHS - Available with secondary mailing and data aggregation to this field;
- SEIU - Available with primary mailing and data aggregation to this field; and
- No gaps for IPs or APs
    - Issues with:
        - Field formatting;
        - Primary/secondary aggregation conflict to data field; and
        - Mailing priority conflict across IP and AP database.

7. Billing Address

- DSHS - Available - primary mailing and data aggregation;

- SEIU - Available if provided - primary mailing and data aggregation; and
- No gaps for IPs or APs.
  - Issues with:
    - Formatting;
    - Primary/secondary aggregation; and
    - APs do not typically request or require.

8. Date of Hire

- DSHS - Not Available;
- SEIU - Available from Employer file with formatting variance;
- Date of hire data gap for IPs; and
- No gap for date of hire for APs.

9. Date of Termination

- DSHS - Not Available;
- SEIU - Not Available from Employer file – formatting variance;
- Gap for IPs; and
- No gap for date of termination for APs.

10. Service Hours

- DSHS - Available as "hours worked";
- SEIU - Available to SEIU for 5 agencies; the remaining employers collect but do not submit to SEIU;
- No data gap for IPs or APs.
  - Issues:
    - Formatting variance across IPs and APs; and
    - Multiple sources for APs.

11. Earnings

- DSHS - Available as part of the ongoing payroll data collection in SQL database;
- SEIU - Available to SEIU for 3 agencies; the remaining employers collect but do not submit to SEIU; and
- No data gap for IPs or APs.
  - Issues:
    - Challenging data collection from IPs;
    - Definitions may vary across IPs and APs;
    - Formatting variance across IPs and APs; and
    - Multiple sources for APs

12. Historical Service Hours

- DSHS - Available as "historical hours worked";
- SEIU - Available to SEIU for AAA agencies; the remaining employers collect but do not submit to SEIU; and
- No gaps for IPs and APs.
  - Issues:
    - Formatting variance across IP and APs; and
    - Multiple sources for APs.

13. Historical Earnings

- DSHS - Available in database other than SSPS;
- SEIU - Available to SEIU for 2 agencies; the remaining employers collect but do not submit to SEIU; and
- No data gaps for IPs and APs .
  - Issues:
    - Multiple sources from IPs; and APs;
    - Multiple formats.

14. Initial Service Date or Past Service Field

- DSHS - Not Available;
- SEIU - Captured as seniority date;
- Data gap for IPs; and
- No data gap for APs.

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Appendices

Appendix A: Home Care Retirement Planning – Work plan Part 1: Current Data Analysis and Defined Gap

Appendix B: Home Care Workers - DSHS & SEIU Retirement Data Requirements

Appendix C: DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis

Appendix A: Home Care Retirement Planning – Work plan Part 1: Current Data Analysis and Defined Gap

Home Care Pension Planning - Workplan Part 1: Current Data Analysis and Defined Gap														
Key Steps and Tasks	**Responsibility**	**APRIL**				**MAY**				**June**				
		7	14	21	28	5	12	19	26	2	9	16	23	30
1. Project Planning					▓									
1. Prepare draft work plan, review with TAI Team	Cindy+TAI				░									
2. Finalize work plan; peer review	Cindy				░									
3. Submit **Deliverable 1 - Workplan** for approval (April 29, 2008)	Cindy				░									
2. Discovery					▓	▓	▓	▓	▓	▓	▓			
Obj: Determine data requirements for the proposed defined contribution (DC) and defined benefits (DB) plan options														
Obj: Determine and obtain current data available from State and SEIU sources														
1. Determine data fields required for retirement plan management.	Cindy/Alan				░									
2. Review current DSHS, SEIU/BSI and AP data fields: - Does data exist? -What is the quality? - Can it be updated?	Cindy/Will				░	░	░	░	░					
a. Request to know additional data fields available to SEIU	Cindy				░	░	░	░	░	░	░	░		

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Home Care Pension Planning - Workplan Part 1: Current Data Analysis and Defined Gap

Key Steps and Tasks	Responsibility	APRIL				MAY				June				
		7	14	21	28	5	12	19	26	2	9	16	23	30
b. Request AP data fields or data dictionary. If not possible: (1) Develop data file layout for DC and DB (2) Request IP data confirmation from DSHS (3) Request AP data confirmation from SEIU	Cindy/Alan				▓	▓	▓	▓	▓	▓	▓	▓		
c. Meet with DSHS to review SSPS data dictionary or available data fields	Cindy/Will						▓							
d. Meet with SEIU to review available AP fields.	Cindy/Will							▓						
e. Work SEIU or Agencies to determine data availability at APs.	Cindy						▓	▓	▓	▓	▓	▓		
3. Analysis							▓	▓	▓	▓	▓	▓		
Obj: Determine data gap for both DC and DB options														
a. Prepare data dictionary for DC options.	Cindy						▓	▓	▓	▓	▓	▓		
b. Prepare data dictionary for DB options.	Cindy						▓	▓	▓	▓	▓	▓		
c. Prepare data dictionary for total available data from IP sources.	Cindy						▓	▓	▓	▓	▓	▓		
d. Prepare data dictionary for total available data from AP sources.	Cindy						▓	▓	▓	▓	▓	▓		
e. Compare c and d to a and b above to determine gaps.	Cindy/Will						▓	▓	▓	▓	▓	▓		
4. Written Report											▓	▓		
Obj: Prepare written report														
a. Prepare draft written report by June 23	Cindy										▓	▓		
b. Peer review	Alan/Will											▓		
c. Finalize by June 24.	Cindy											▓		
d. Submit by June 24.	Cindy												▓	

Appendix B: Home Care Workers- DSHS & SEIU Retirement Data Requirements

Home Care Workers- Retirement Data Requirements – Detailed Status				
Data Element Description & Preferred Elements/Format	**Source**	**Available Data Elements/Format** .	**Data Quality**	**System Update Ability/Frequency**
Participant Identifier Number	**DSHS**	SSPS Provider Number which is a zero padded text file	*DSHS Reported:* Fairly high with few duplicates. *TAI:* Agree	Ongoing with regular checks against ACES, Social Security, and other databases.
	SEIU	Member ID is assigned by UnionWare and demographic data aggregate to this number.	Unknown, but assume good since it is system-generated.	Monthly
Name	**DSHS**	Last and First and Sometimes Middle Initial Stored as one field, not separate by first, last, middle	*DSHS Reported*: Fairly high with few duplicates. *TAI:* Agree. When matched to BSI data, 105 mismatches but minor discrepancies.	Ongoing with regular checks against ACES, Social Security, and other databases.
	SEIU	Received from employer file; formats vary from each provider.	TAI: Some duplicates in selected files (KWA and AAA)	Monthly

HC Workers Retirement Benefit Alternatives- Part 1 Data Analysis and Defined Gap

Home Care Workers- Retirement Data Requirements – Detailed Status				
Data Element Description & Preferred Elements/Format	**Source**	**Available Data Elements/Format**	**Data Quality**	**System Update Ability/Frequency**
Mailing Address	**DSHS**	Generic format: Name: last, first. Line #2 is Address #1 and Line #3 is Address #2 All mail goes to mailing address unless a billing address is provided, then mailing address is secondary.	*DSHS Reported:* Good. *TAI:* Did not review	Unknown
	SEIU	Format unknown – all data aggregates to this address All mail goes to this address.	Unknown – assume formats may differ across agencies	Monthly
Billing Address	**DSHS**	Same as above. Data is aggregated to this address automatically. Mail is sent to this address if provided.	*DSHS Reported:* Good. *TAI:* Did not review	Unknown
	SEIU	Format unknown – mail goes to this address if directed by AP.	Unknown – assume formats may differ across agencies	Monthly
Gender	**DSHS**	Not available Collected by health care TPA (BSI) if IP applies for benefits.	NA *TAI:* BSI data good.	NA
	SEIU	Provided by member	Unknown	Submitted with hard copy union information.
Date of Birth	**DSHS**	Not available Collected by health care TPA (BSI) if IP applies for benefits.	NA *TAI:* BSI data good; ten records with inconsistent	NA

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HC Workers Retirement Benefit Alternatives- Part 1 Data Analysis and Defined Gap

Data Element Description & Preferred Elements/Format	Source	Available Data Elements/Format .	Data Quality	System Update Ability/Frequency
			data.	
	SEIU	Provided by member, except Chesterfield sends via employer file.	Unknown – assume formats may differ across agencies	Monthly from Chesterfield Submitted with hard copy union information.
Date of Hire	DSHS	Not available	NA	NA
	SEIU	From employer file	Unknown – assume formats may differ across agencies	Monthly
Date of Termination	DSHS	Not available	NA	NA
	SEIU	From employer file	Unknown – assume formats may differ across agencies	Monthly
Service Hours	DSHS	This is the same as hours worked field. Kept as an ongoing process for rate changes and not as a report.	*DSHS Reported*: Quality of data is good. *TAI:* Agree	Updated regularly, daily, but not for reporting purposes. Extractions of data are by request.
	SEIU	From employer file for AAA, Addus, Amicable, Chesterfield & KWA. CCS, ResCare and Unique collect the data but do not submit to SEIU.	Unknown – assume formats may differ across agencies	Monthly
Earnings	DSHS	This is kept as an ongoing process in an SQL database: • Defined as taxed wage amounts;	*DSHS Reported:* Very good.	Updated regularly, daily, but not for reporting purposes. Extractions of data are by

Home Care Workers- Retirement Data Requirements – Detailed Status				
Data Element Description & Preferred Elements/Format	**Source**	**Available Data Elements/Format**	**Data Quality**	**System Update Ability/Frequency**
		• Gross amount before deductions	*TAI:* Agree	request. • Not a field but a process derivation
	SEIU	From employer file for AAA, Amicable & Unique. Addus, Chesterfield & KWA,CCS, & ResCare collect the data but do not submit to SEIU.	Unknown – assume formats may differ across agencies	Monthly
Historical Service Hours	**DSHS**	Same as historical hours worked field. This is kept as an ongoing process for rate changes and not as a report. • Defined as cumulative career hours; • Kept in SQL and repository.	*DSHS Reported:* Quality of data is good. *TAI:* Agree, for historical data reviewed from October 1, 2006 – September 30, 2007	Updated regularly, daily, but not for reporting purposes. Extractions of data are by request.
	SEIU	Receive from employer file for AAA only. All others collect the data but do not submit to SEIU.	Unknown	Monthly
Historical Earnings	**DSHS**	Stored by month in SQL, OAS and MF	*DSHS Reported:* Quality of data is good. *TAI:* Agree, for historical data reviewed from October 1, 2006 – September 30, 2007	Updated regularly, daily, but not for reporting purposes. Extractions of data are by request.
	SEIU	Receive from employer file for AAA and Amicable only. All others collect the data but do not submit to SEIU.	Unknown – assume formats may differ across agencies	Monthly
	DSHS	Not available.	NA	NA

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HC Workers Retirement Benefit Alternatives- Part 1 Data Analysis and Defined Gap

Home Care Workers- Retirement Data Requirements – Detailed Status				
Data Element Description & Preferred Elements/Format	**Source**	**Available Data Elements/Format** .	**Data Quality**	**System Update Ability/Frequency**
Employer		SSPS stores information by service codes (programs) and not IP or Agency.		
	SEIU	Employer codes not assigned by UnionWare or SEIU.	NA	NA
Initial Service Date or Past Service Field	**DSHS**	Not Available. SSPS does not collect. - Full date not available, only month started. - Issue is that workers start and stop based on cases and initial service date(s) will be in historical data and must be calculated.	NA	NA
	SEIU	Each employer provides a seniority date. The seniority date is the original hire date.	Unknown – assume formats may differ across agencies	Monthly

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Appendix C: DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis

DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis						
Required Data Element	**Description**	**Comments**	**Required Frequency**	**DSHS Availability**	**SEIU Availability**	**Data Gap**
Participant Identifier Number	Can be any number unique to the provider	Critical issue is that identifier must be common among all IP and AP databases and payroll systems; security risks if use Social Security number	Every download	Available, but common to DSHS	Available but common to SEIU	**Gap - No common identifier across both IP and AP databases.**
Employer	IP or AP employer code	Necessary to determine where the service hours, earnings, etc are being incurred.	Every download	No code assigned to employer	No code assigned to employer	**Gap - No employer code available across both IP and AP databases**
Name	First name, middle initial, last name	Can include history field for changes in last name - not necessary, but	On initial download and with provider-directed	Available	Available; possible format variance by	**No gaps** **Issue: formats are variable across AP**

DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis						
Required Data Element	Description	Comments	Required Frequency	DSHS Availability	SEIU Availability	Data Gap
		helpful	changes		agency	**database.**
Gender	Male/Female	Essential for defined benefit plan design.	Can be initial download plus as new employees are hired	Not Available	Available	**Gap for IPs** **No gaps for APs**
Date of Birth	MMDDYYYY	Can be updated on every download or established as a one time data field that updates only for error corrections	Can be initial download plus as new employees are hired	Not Available	Available	**Gap for IPs** **No gaps for APs**
Mailing Address	Address where provider lives AND where payroll correspondence is delivered	Priority use if this is the sole provider address.	On initial download and with provider-directed changes	Available - secondary mailing and data aggregation	Available - primary mailing and data aggregation	**No gaps for IPs or APs** **Issues with:** • **Formatting;** • **Primary/secondary aggregation; and** • **Mailing priority conflict across IP and AP database**

DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis

Required Data Element	Description	Comments	Required Frequency	DSHS Availability	SEIU Availability	Data Gap
Billing Address	Address where provider payroll correspondence is delivered	Priority use if provider has both a mailing and billing address	On initial download and with provider-directed changes	Available - primary mailing and data aggregation	Available if provided - primary mailing and data aggregation	**No gaps for IPs or APs** **Issues with:** • **Formatting;** • **primary/secondary aggregation; and** • **APs do not typically request or require.**
Date of Hire	MMDDYYYY The initial date of agency or individual hire	Ideally would be collected as series of dates if terminate employment and then are reemployed	Need to update as new periods of service start, or with each download	Not Available	Available from Employer file – formatting variance	**Date of hire data gap for IPs** **No gap for date of hire for APs**
Date of Termination	MMDDYYYY	Necessary to identify timing and eligibility for distributions; Ideally would be collected as series of dates if terminate employment and then are	Update every download	Not Available	Not Available from Employer file – formatting variance	**Gap for IPs** **No gap for date of termination for APs**

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DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis						
Required Data Element	Description	Comments	Required Frequency	DSHS Availability	SEIU Availability	Data Gap
		reemployed				
Service Hours	Defined as amount per pay period or a history during a period amount (e.g., year to date service hours)	This data element should be collected as paid hours, vacation hours, and client participation hours	Update every download	Available as "hours worked"	Available to SEIU for 5 agencies; the remaining employers collect but do not submit to SEIU	**No data gap for IPs or APs** **Issues:** • **Formatting variance across IPs and APs; and** • **Multiple sources for APs**
Earnings	Defined as amount per pay period or a history during a period amount (e.g., year to date earnings)	May not be required if benefits are defined exclusively per service hour.	Update every download	Available as "process fields"	Available to SEIU for 3 agencies; the remaining employers collect but do not submit to SEIU	**No data gap for IPs or APs** **Issues:** • **Challenging data collection from IPs;** • **Definitions may vary across IPs and APs;** • **Formatting variance across IPs and APs; and** • **Multiple sources for APs**

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HC Workers Retirement Benefit Alternatives- Part 1 Data Analysis and Defined Gap

DB & DC Retirement Plan Requirements, Data Availability and Gap Analysis

Required Data Element	Description	Comments	Required Frequency	DSHS Availability	SEIU Availability	Data Gap
Historical Service Hours		May be maintained by pension administration system instead of source data systems	Can be initial download plus as new employees are hired	Available as "historical hours worked"	Available to SEIU for AAA agencies; the remaining employers collect but do not submit to SEIU	**No gaps for IPs and APs** **Issues** • **Formatting variance across IP and APs; and** • **Multiple sources for APs**
Historical Earnings		May be maintained by pension administration system instead of source data systems	Can be initial download plus as new employees are hired	Available in database other than SSPS	Available to SEIU for 2 agencies; the remaining employers collect but do not submit to SEIU	**No data gaps for IPs and APs** **Issues:** • **Multiple sources from IPs; and APs;** • **Multiple formats.**
Initial Service Date or Past Service Field	MMDDYYYY for first service date		Can be initial download plus as new employees are hired	Not Available	Captured as seniority date	**Data gap for IPs** **No data gap for APs**

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